

**Department of Health and Human Services
Substance Abuse and Mental Health Services
Administration**

**“Now is the Time” Project AWARE
Local Educational Agency Grants**

Short title: NITT-AWARE-LEA

(Initial Announcement)

Request for Applications (RFA) No. SM-14-019

Catalogue of Federal Domestic Assistance (CFDA) No.: 93.243

Key Dates:

Application Deadline	Applications are due by June 16, 2014.
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EXECUTIVE SUMMARY

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2014 **“Now is the Time” Project AWARE (Advancing Wellness and Resilience in Education) Local Educational Agency (NITT-AWARE-LEA)** grants. The purpose of this program is to assist local educational agencies (LEAs) to begin to support the training of school personnel and other adults who interact with youth in both school settings and local communities to detect and respond to mental illness in children and youth, including how to encourage adolescents and their families experiencing these problems to seek treatment. Individuals will be trained in Mental Health First Aid (MHFA) or Youth Mental Health First Aid (YMHFA). By implementing this program, SAMHSA expects to achieve an increase in the mental health literacy of adults who interact with school-aged youth and increase awareness of mental health issues among school-aged youth. The President’s Plan can be found at:

http://www.whitehouse.gov/sites/default/files/docs/wh_now_is_the_time_full.pdf

Funding Opportunity Title:	Now is the Time Project AWARE Local Educational Agency Grants
Funding Opportunity Number:	SM-14-019
Due Date for Applications:	June 16, 2014
Anticipated Total Available Funding:	\$9,419,000
Estimated Number of Awards:	Up to 100
Estimated Award Amount:	Up to \$50,000 per year
Cost Sharing/Match Required	No
Length of Project Period:	Up to two years
Eligible Applicants:	Eligible applicants are Local Educational Agencies (LEAs) or consortia of LEAs, as defined by section 9101(41) of the Elementary and Secondary Education Act (ESEA).

I. FUNDING OPPORTUNITY DESCRIPTION

1. PURPOSE

The Substance Abuse and Mental Health Services Administration, Center for Mental Health Services is accepting applications for fiscal year (FY) 2014 **“Now is the Time” Project AWARE (Advancing Wellness and Resilience in Education) Local Educational Agency (NITT-AWARE-LEA)** grants. The purpose of this program is to assist local educational agencies to begin to support the training of school personnel and other adults who interact with youth in both school settings and communities to detect and respond to mental illness in children and youth, including how to encourage adolescents and their families experiencing these problems to seek treatment. It is required that individuals be trained in Mental Health First Aid¹ (MHFA) or Youth Mental Health First Aid (YMHFA). By implementing this program, SAMHSA expects to achieve an increase in the mental health literacy of adults who interact with school-aged youth² and increase awareness of mental health issues among school-aged youth. The President’s Plan can be found at:

http://www.whitehouse.gov/sites/default/files/docs/wh_now_is_the_time_full.pdf

Half of all lifetime cases of mental illness begin by age 14. Despite effective treatments and services, there are long delays — sometimes decades — between first onset of symptoms and when people seek and receive treatment. Furthermore, an untreated mental disorder can lead to a more severe, more difficult to treat illness, and to the possible development of additional co-occurring mental disorders. Three-quarters of mental illnesses appear by the age of 24, yet less than half of children with diagnosable men

In the Consolidated Appropriations Act, 2014, Congress appropriated \$15 million to SAMHSA for "Mental Health First Aid" and final Conference Report language directed SAMHSA "to focus on a broad public health safety approach when implementing the Mental Health First Aid program that offers training for both school officials and the range of actors in the public sphere that interact with youth." In Project AWARE, SAMHSA will evaluate the impact of MHFA on increasing mental health literacy, improving school climate, preventing school violence, and increasing access to mental health services.

¹ Mental Health First Aid is a mental health training program that has been implemented in at least 20 countries. The evidence for Mental Health First Aid indicates that participants gained the ability to better understand appropriate treatment options for individuals over the age of 18 years. Individuals who were trained in Mental Health First Aid reported having more confidence in providing help to others and lessened negative attitudes and decreased social distance from people with mental disorders.

² School-aged youth refers to children and youth in grades K through 12.

With NITT-AWARE-LEA funding, local educational agencies and their respective communities will train teachers, counselors, other school personnel (e.g., administrators, school bus drivers, cafeteria workers, playground attendants, athletic coaches and trainers), emergency responders (e.g., police, firefighters, emergency services staff), parents, caregivers, and other youth-serving adults in MHFA and YMHFA. MHFA and YMHFA are public education programs that introduce participants to the unique risk factors and symptoms of mental health problems in adolescents, build understanding of the importance of early intervention, and most importantly – teach individuals how to help a youth in crisis or experiencing a mental health or substance use challenge. MHFA and YMHFA use role-playing and simulations to demonstrate how to assess a mental health crisis; select interventions and provide initial help; and connect young people to professional, peer, social, and self-help care. Additional information about MHFA and YMHFA can be found in [Appendix H](#) of this RFA.

In an effort to maximize funding under this announcement, LEA applicants should demonstrate how they will build on, enhance, and not duplicate current activities should they receive funding under SAMHSA's "Now is the Time" Project AWARE State Educational Agency grant.

NITT-AWARE-LEA grants are authorized under Section 520A of the Public Health Service Act, as amended. This announcement addresses Healthy People 2020 Mental Health and Mental Disorders Topic Area HP 2020-MHMD.

2. EXPECTATIONS

The overall goal of NITT-AWARE-LEA is to build and/or expand the capacity at the local level to increase awareness of mental health issues, and connect children and youth with behavioral health issues to needed services. The intent of NITT-AWARE-LEA is for trained mental health "first aiders" to potentially reach 500 thousand children and youth. Program objectives include:

- Increasing awareness of mental health issues among school-aged youth;
- Conducting outreach and engagement strategies with school-aged youth and their families to increase awareness of and promote positive mental health;
- Increasing the mental health literacy of school personnel and other adults who interact with school-aged youth via MHFA or YMHFA training; and
- Increasing the capacity of communities to respond to the behavioral health issues of school-aged youth.

There are two types of Mental Health First Aid courses -- adult and youth. The adult MHFA course is appropriate for individuals, 18 years of age and older. The adult curriculum is available in both Spanish and English. The course uses role-playing and simulations to demonstrate how to assess a mental health crisis; select interventions

and provide initial help; and connect persons to professional, peer, and social supports as well as self-help resources.

Youth MHFA, as distinguished from the adult MHFA curriculum, is designed to teach parents, family members, caregivers, teachers, school staff, peers, neighbors, health and human services workers, and other caring citizens how to help an adolescent (age 12-18) who is experiencing a mental health or addictions challenge or is in crisis. For background information on MHFA and YMHFA, please refer to Appendix H.

Because some jurisdictions may have a significant number of students over the age of 18, applicants should select whichever course is developmentally appropriate for the specific populations of focus. Mental Health First Aid USA is managed, operated, and disseminated by the National Council for Behavioral Health, the Maryland Department of Health and Mental Hygiene, and the Missouri Department of Mental Health. Applicants may contact these three authorities to train and certify instructors.

Grantees must collaborate and coordinate grant activities with the Department of Education LEA School Climate Transformation grant and the related Department of Justice Now Is The Time - School Justice Collaboration Assistance (SJCA), Keeping Kids In School and Out of Court grant. The announcement number and hyperlink to both the ED and DOJ RFAs will be posted on the SAMHSA website <http://www.samhsa.gov> when it is available.

Applicants for this announcement are also required to apply for the Department of Education's LEA School Climate Transformation grant. In addition, SAMHSA applicants are encouraged to apply for the DOJ grant.

LEAs that implement both programs as part of a coordinated strategy will enhance grantees ability to achieve the goals and objectives of both programs. The Department of Justice will also be making awards to local law enforcement or juvenile justice agencies in communities that receive an ED LEA School Climate Transformation Grant. The combination and coordination of these three programs will facilitate interagency partnerships and strategies to address the issues of school climate, school safety, and mental health needs in a comprehensive manner. To promote a coordinated strategy, SAMHSA expects that the office within the LEA responsible for implementing the NITT-AWARE-LEA grant will be the same, or have an explicit partnership with, the office responsible for implementing Education's LEA School Climate Transformation Grants.

2.1 Required Activities

Grantees must train at least six MHFA/YMHFA Instructors who will then train at least 250 MHFA/YMHFA "First Aiders" over the course of the grant program (i.e. two years).

Within 60 days of award, an LEA that receives grants from both the NITT-AWARE-LEA and ED LEA School Climate Transformation Grants will submit a description detailing the activities, timing, and personnel involved in implementing the grants in an aligned and complementary manner. The description will be reviewed, approved, and

monitored by an interagency committee of staff from SAMHSA and ED. If the LEA is in a partnership with a local law enforcement or juvenile justice entity that receives the DOJ collaboration grants, the description must include that grant as well. DOJ will also contribute staff to the interagency committee in those instances.

2.1.2 Develop Collaborative Partnerships

The development of a partnership among the LEA and other community agencies is required. The required partners must include the LEA, the local mental health services and local law enforcement agencies. Other partners should include emergency first responders, the child welfare agency, faith based organizations, and families and caregivers.

To demonstrate a collaborative partnership, you must include letters of commitment (LOC) from the two required partners demonstrating their commitment to the NITT-AWARE- LEA program in **Attachment 1** of your application. Each LOC must be signed by the authorized representative of each partner and include the following information:

- The organizational capacity of the agency or authority and commitment to support NITT-AWARE-LEA;
- A statement of the willingness of the agency or authority to partner and collaborate on NITT-AWARE-LEA; and
- A description of any available and in-kind resources, including staff, to support the NITT-AWARE-LEA.

If other partners are identified, LOCs from each of them should also be included in **Attachment 1** of your application.

2.1.3 Develop a MHFA/ YMHFA Training Plan

A MHFA/ YMHFA training plan must be developed in partnership and collaboration between the LEA, required partners, and any additional partners. The training plan should be included in the application narrative (not as an attachment or appendix) and must address the following:

- The selection of MHFA/YMHFA, depending on the developmental appropriateness of the target population. [NOTE: developmental appropriateness is defined as the use of strategies and programs that are valid and appropriate for a specific age group or developmental level.]
- Identification of sufficient FTE support for a MHFA/YMHFA program coordinator to lead, manage, and oversee all aspects of NITT-AWARE-LEA. [NOTE: The Program Coordinator should be trained as a MHFA/YMHFA Instructor within 60 days after award.]

- Identification of the total number of individuals to be trained as MHFA/YMHFA instructors. [NOTE: At least six individuals must be trained as MHFA/YMHFA Instructors during the project period.]
- Identification of the total number of people to be trained by the MHFA/YMHFA instructors. [NOTE: A minimum of 6 instructors and 250 “first aiders” within each LEA and respective community must be trained in MHFA/YMHFA.]
- Based on the size of the community, identification of the number of additional youth-serving adults (i.e., more than the minimum of 250 persons) to ensure that a sufficient number of adults trained in MHFA/YMHFA will effectively saturate the community.
- Development of a plan to track MHFA/YMHFA “first aider” certification and establish a cadre of trainers for the LEA and respective community.
- Identification of any current implementation of MHFA /MHFA training and/or resources in your community, clearly identifying how AWARE-LEA will enhance, support, or expand existing training activities.
- Obtaining the necessary materials for the trainers and trainees. This includes manuals, referral guides, reference resources, and other materials that may be necessary to successfully conduct trainings.
- Providing necessary supports (e.g., substitute teachers for school personnel, training facilities) as needed.

After award, the following components will be developed and added to the MHFA or YMHFA training plan:

- Development of policies and related procedures to attain parental and or caregiver consent for mental health services when indicated.

The timeframe for the submission of the policies and related procedures will be negotiated with the government project officer.

2.1.4 Implement a MHFA/YMHFA Training Program

Applicants must include in their application an implementation plan and detailed timeline that includes the following:

- The total number of trainings to be held.
- The number of people expected to be trained at each training event.
- The total number of people to be trained, and the agency affiliation of all people being trained to ensure that those being trained are representative of adults who

are in contact with school-aged youth (e.g., teachers, counselors, and other school personnel, emergency responders such as police, firefighters, and emergency services staff; family members and caregivers.)

- A description of how the MHFA/YMHFA training to be provided to individuals who are in direct contact with school-aged youth are representative of the demographics and racial/ethnic diversity of the community.

After award, the following component should be developed and added to the MHFA/YMHFA implementation plan:

- Identification of community outreach and other engagement strategies to increase participation in MHFA/YMHFA training and access to diverse populations.
- A description addressing how you will ensure that the appropriate referral infrastructure is in place to support increased identification and referral to mental health services as needed.
- A description of the referral process to be used when school-aged youth are in need of mental health services.

The timeframe for the submission of the policies and related procedures will be negotiated with the government project officer.

2.1.5 Develop a Sustainability Plan

Developing infrastructure for sustaining NITT-AWARE-LEA when federal funding ends is required. As part of the application process you should describe how you will:

- Build the capacity and leadership to sustain MHFA/YMHFA training when federal funding ends.

After award, you will be required to develop a sustainability plan that will also address the following:

- Building the capacity and leadership to sustain community-based mental health strategies.
- Accessing existing funding systems to support the provision of mental health services to school –aged youth.

The timeframe for the submission of the policies and related procedures will be negotiated with the government project officer.

2.2 Data Collection and Performance Measurement

All SAMHSA grantees are required to collect and report certain data so that SAMHSA can meet its obligations under the Government Performance and Results (GPRA) Modernization Act of 2010. You must document your ability to collect and report the required data in “[Section E: Data Collection and Performance Measurement](#)” of your application. Grantees will be required to report performance on the following performance measures:

- The number of individuals who have received training in prevention or mental health promotion (i.e., MHFA /YMHFA);
- The number of people credentialed and/or certified to provide mental health related practices (i.e., MHFA /YMHFA) that are consistent with the goals of the grant.
- The number of individuals referred to mental health or related services.

This information will be gathered using the Transformation Accountability System (TRAC), which can be found at <https://www.cmhs-gpra.samhsa.gov>, along with instructions for completing it. Data will be collected quarterly after entry of annual goals. Data are to be entered into a web-based system supported by quarterly written fiscal reports and written annual reports. Technical assistance for the web-based data entry, quarterly and annual report generation is available.

The collection of these data will enable CMHS to report on the National Outcome Measures (NOMs), which have been defined by SAMHSA as key priority areas relating to mental health. In addition to the NOMs, data collected by grantees will be used to demonstrate how SAMHSA’s grant programs are reducing disparities in access, service use, and outcomes nationwide.

In addition to these measures, grantees will be expected to collect and report the following data:

- The number school-aged youth that interface with adults trained in MHFA or YMHFA in schools and in the community.

Performance data will be reported to the public, the Office of Management and Budget (OMB) and Congress as part of SAMHSA’s budget request.

2.3 Local Performance Assessment

You are required to periodically review the performance data you report to SAMHSA (as required above) and assess your progress and use this information to improve management of the NITT-AWARE-LEA program. This performance assessment should be designed to help you determine whether you are achieving the goals, objectives and

outcomes you intend to achieve and whether adjustments need to be made to your project.

You will be required to report on your progress achieved, barriers encountered, and efforts to overcome these barriers in a performance assessment report to be submitted at least semi-annually. At a minimum, your performance assessment report should include data for the required performance measures identified above and address the following questions:

- How closely did MHFA/YMHFA implementation match the training plan?
- What types of changes were made to the originally proposed training plan?
- What led to the changes in the training plan?
- What effect did the changes have on the planned implementation of MHFA/YMHFA?
- Who received the training (modality, type, intensity, duration), in what context (LEA, community), and at what cost (facilities, personnel, dollars)?
- What strategies were used to maintain fidelity to the evidence-based practice or intervention across providers over time?
- How many individuals were reached through the program? Include adults trained and youth exposed to adults trained.
- What partnerships or other infrastructure impacted the outcomes of the trainings?

No more than 10 percent of the total grant award may be used for data collection, performance measurement, and performance assessment, e.g., activities required in Sections I-2.2 and 2.3 above.

2.6 Grantee Meetings

In person grantee meeting attendance is not required for NITT-AWARE-LEA. However, attendance at scheduled virtual grantee meetings and webinars will be required.

II. AWARD INFORMATION

The proposed budget cannot exceed \$50,000 in total costs (direct and indirect) in any year of the proposed project. Annual continuation awards will depend on the availability of funds, grantee progress in meeting project goals and objectives, timely submission of required data and reports, and compliance with all terms and conditions of award.

The NITT-AWARE-LEA awards will be made as grants.

III. ELIGIBILITY INFORMATION

1. ELIGIBLE APPLICANTS

Eligible applicants are Local Educational Agencies or consortia of LEAs, as defined by section 9101 (41) of the ESEA. **Applicants for this announcement are also required to apply for the Department of Educations' LEA School Climate Transformation grants or your application will be screened out. The grant announcement number and hyperlink to the RFA will be posted on the SAMHSA website at <http://www.samhsa.gov> when it is available.**

The purpose of this program is to assist Local Educational Agencies to begin to support the training of school personnel and other adults who interact with youth in both school settings and local communities to detect and respond to mental illness in school-aged youth, including how to encourage adolescents and their families experiencing these problems to seek treatment. These individuals will be trained in Mental Health First Aid or Youth Mental Health First Aid.

Therefore, eligibility is being limited to LEAs since these individuals have substantial involvement and access to children and youth in both school settings and local communities and can begin to immediately implement the goals and objectives of this program.

2. COST SHARING and MATCH REQUIREMENTS

Cost sharing/match is not required in this program.

3. OTHER

3.1 Additional Eligibility Requirements

You must comply with the following three requirements, or your application will be screened out and will not be reviewed:

1. Use of the SF-424 application form; Budget Information form SF-424A; Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist.
2. Application submission requirements in Section IV-3 of this document; and
3. Formatting requirements provided in Appendix A of this document.

3.2 Evidence of Experience and Credentials

SAMHSA believes that only existing, experienced, and appropriately credentialed organizations with demonstrated infrastructure and expertise will be able to provide the required services quickly and effectively. SAMHSA expects that within 4 months following award that individuals will be trained as MHFA instructors who will, in turn,

train other youth-serving adults. Three additional requirements related to the provision of services must be met:

- The LEA may provide the MHFA or YMHFA training directly to school personnel and other adults serving school-aged youth;
- If the LEA proposes to have a community organization provide MHFA or YMHFA training, the community organization must be included as a required partner and the organization must have been providing services to the target population (i.e., school-aged youth) for at least two years; and
- A letter of commitment must be submitted with the application from any organization that has agreed to participate in the project, i.e., provide MHFA or YMHFA training. The letter of commitment must specify the nature of the participation, the service(s) that will be provided, the current capacity of the organization to provide MHFA or YMHFA training, and any in-kind services or resources to be provided (if applicable). The letter of commitment should be included in **Attachment 1** of the application.

IV. APPLICATION AND SUBMISSION INFORMATION

1. CONTENT AND GRANT APPLICATION SUBMISSION

You must go to both Grants.gov (<http://www.Grants.gov>) and the SAMHSA website (<http://beta.samhsa.gov/grants/applying>) to download the required documents you will need to apply for a SAMHSA grant.

Grants.gov

How to Download Forms from Grants.gov (see [Appendix B](#) for information on applying through Grants.gov)

To view and/or download the required application forms, you must first search for the appropriate funding announcement number (called the opportunity number).

On the Grants.gov site (<http://www.Grants.gov>), select the Apply for Grants option from the Applicants Tab at top of the screen. Under STEP 1, click on the red button labeled: 'Download a Grant Application Package'. Enter either the Funding Opportunity Number (SAMHSA's Funding Announcement #) or the Catalogue of Federal Domestic Assistance (CFDA) Number exactly as they appear on the cover page of this RFA, then click the Download Package button. In the Instructions column, click the Download link.

You can view, print or save all of these forms. You can complete the forms for electronic submission to Grants.gov. Completed forms can also be saved and printed for your records. These required forms include:

- Application for Federal Assistance (SF-424);

- Budget Information – Non-Construction Programs (SF-424A);
- Project/Performance Site Location(s) Form;
- Disclosure of Lobbying Activities;
- Checklist.

Applications that do not include these required forms will be screened out and will not be reviewed.

SAMHSA's Grants Website

You will find additional materials you will need to complete your application on SAMHSA's website (<http://beta.samhsa.gov/grants/applying>). These include:

- Request for Applications (RFA) – Provides a description of the program, specific information about the availability of funds, and instructions for completing the grant application. This document is the RFA;
- Assurances – Non-Construction Programs;
- Certifications; and
- Charitable Choice Form SMA 170.

See Section IV-1.1-Assurances of this RFA to determine if you are required to submit Charitable Choice Form SMA 170. If you are, you can upload this form to Grants.gov when you submit your application.

Be sure to check the SAMHSA website periodically for any updates on this program.

1.1 Required Application Components

Applications must include the following 12 required application components:

- **Application for Federal Assistance (SF-424)** – This form must be completed by applicants for all SAMHSA grants. [Note: Applicants must provide a Dun and Bradstreet (DUNS) number to apply for a grant or cooperative agreement from the federal government. SAMHSA applicants are required to provide their DUNS number on the first page of the application. Obtaining a DUNS number is easy and there is no charge. To obtain a DUNS number, access the Dun and Bradstreet website at <http://www.dnb.com> or call 1-866-705-5711. To expedite the process, let Dun and Bradstreet know that you are a public/private nonprofit organization getting ready to submit a federal grant application. In addition, you must be registered in the new System for Award Management (SAM). The former Central Contractor Registration (CCR) transitioned to the

SAM on July 30, 2012. **SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients).** Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes. **Grants.gov will reject submissions from applicants who are not registered in SAM or those with expired SAM registrations (Entity Registrations).** The DUNS number you use on your application must be registered and active in the SAM. To create a user account, Register/Update entity and/or Search Records from CCR, go to <https://www.sam.gov>.]

- **Abstract** – Your total abstract must not be longer than 35 lines. It should include the project name, population(s) to be served (demographics and clinical characteristics), strategies/interventions, project goals and measurable objectives, including the number of people to be served annually and throughout the lifetime of the project, etc. In the first five lines or less of your abstract, write a summary of your project that can be used, if your project is funded, in publications, reports to Congress, or press releases.
- **Table of Contents** – Include page numbers for each of the major sections of your application and for each attachment.
- **Budget Information Form** – Use SF-424A. Fill out Sections B, C, and E of the SF-424A. A sample budget and justification is included in [Appendix F](#) of this document.
- **Project Narrative and Supporting Documentation** – The Project Narrative describes your project. It consists of Sections A through E. Sections A-E together may not be longer than 30 pages. (Remember that if your Project Narrative starts on page 5 and ends on page 36, it is 31 pages long, not 30 pages.) More detailed instructions for completing each section of the Project Narrative are provided in “Section V – Application Review Information” of this document.

The Supporting Documentation provides additional information necessary for the review of your application. This supporting documentation should be provided immediately following your Project Narrative in Sections F through H. There are no page limits for these sections, except for Section G, Biographical Sketches/Job Descriptions. Additional instructions for completing these sections are included in [Section V](#) under “Supporting Documentation.” Supporting documentation should be submitted in black and white (no color).

- **Attachments 1 through 3:** Use only the attachments listed below. If your application includes any attachments not required in this document, they will be disregarded. Do not use more than a total of 30 pages for Attachment 1. There are no page limitations for Attachments 2, 3, and 4. Do not use attachments to extend or replace any of the sections of the Project Narrative. Reviewers will

not consider them if you do. Please label the attachments as: Attachment 1, Attachment 2, etc.

- **Attachment 1:** (1) A list of all organizations and/or agencies that have agreed to participate in the proposed project, including the applicant agency; (2) The letters of commitment from the required partners; (3) Any additional letters of commitment from other partners or agencies; (4) the Statement of Assurance (provided in Appendix C of this announcement) signed by the authorized representative of the applicant organization identified on the first page (SF-424) of the application, that assures SAMHSA that all listed providers meet the 2-year experience requirement.
- **Attachment 2:** Data Collection Instruments/Interview Protocols. If you are using standardized data collection instruments/interview protocols, you do not need to include these in your application. Instead provide a web link to the appropriate instrument/protocol. If the data collection instrument(s) or interview protocol(s) is/are not standardized, you must include a copy in Attachment 2.
- **Attachment 3:** Sample Consent Forms
- **Project/Performance Site Location(s) Form** – The purpose of this form is to collect location information on the site(s) where work funded under this grant announcement will be performed. This form will be posted on SAMHSA’s website with the RFA.
- **Assurances** – Non-Construction Programs. You must read the list of assurances provided on the SAMHSA website and **check the box marked ‘I Agree’** before signing the first page (SF-424) of the application.
- **Certifications** – You must read the list of certifications provided on the SAMHSA website and **check the box marked ‘I Agree’** before signing the first page (SF-424) of the application.
- **Disclosure of Lobbying Activities** – Federal law prohibits the use of appropriated funds for publicity or propaganda purposes or for the preparation, distribution, or use of the information designed to support or defeat legislation pending before the Congress or state legislatures. This includes “grass roots” lobbying, which consists of appeals to members of the public suggesting that they contact their elected representatives to indicate their support for or opposition to pending legislation or to urge those representatives to vote in a particular way. You must sign and submit this form, if applicable.
- **Checklist** – The Checklist ensures that you have obtained the proper signatures, assurances and certifications. **You must complete the entire form**, including the top portion, “Type of Application”, indicating if this is a new,

noncompeting continuation, competing continuation or supplemental application, as well as Parts A through D.

- **Documentation of nonprofit status** as required in the Checklist, if applicable.

1.2 Application Formatting Requirements

Please refer to Appendix A, Checklist for Formatting Requirements and Screen-out Criteria for SAMHSA Grant Applications, for SAMHSA's basic application formatting requirements. Applications that do not comply with these requirements will be screened out and will not be reviewed.

2. APPLICATION SUBMISSION REQUIREMENTS

Applications are due by **11:59 PM** (Eastern Time) on **June 16, 2014**.

Your application must be submitted through <http://www.Grants.gov>. Please refer to Appendix B, "Guidance for Electronic Submission of Applications."

4. FUNDING LIMITATIONS/RESTRICTIONS

Cost principles describing allowable and unallowable expenditures for federal grantees, including SAMHSA grantees, are provided in the following documents, which are available at <http://www.samhsa.gov/grants/management.aspx>:

- Educational Institutions: 2 CFR Part 220 and OMB Circular A-21
- State, Local and Indian Tribal Governments: 2 CFR Part 225 (OMB Circular A-87)
- Nonprofit Organizations: 2 CFR Part 230 (OMB Circular A-122)
- Hospitals: 45 CFR Part 74.

In addition, SAMHSA's NITT-AWARE-LEA grant recipients must comply with the following funding restrictions:

- No more than 10 percent of the total grant award may be used for data collection, performance measurement and performance assessment.

Be sure to identify these expenses in your proposed budget.

SAMHSA grantees also must comply with SAMHSA's standard funding restrictions, which are included in Appendix D.

V. APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

The Project Narrative describes what you intend to do with your project and includes the Evaluation Criteria in Sections A-E below. Your application will be reviewed and scored according to the quality of your response to the requirements in Sections A-E.

- In developing the Project Narrative section of your application, use these instructions, which have been tailored to this program.
- The Project Narrative (Sections A-E) together may be no longer than 30 pages.
- You must use the five sections/headings listed below in developing your Project Narrative. You must place the required information in the correct section, **or it will not be considered**. Your application will be scored according to how well you address the requirements for each section of the Project Narrative.
- The Budget Justification and Supporting Documentation you provide in Sections F-H and Attachments 1-3 will be considered by reviewers in assessing your response, along with the material in the Project Narrative.
- The number of points after each heading is the maximum number of points a review committee may assign to that section of your Project Narrative. Although scoring weights are not assigned to individual bullets, each bullet is assessed in deriving the overall Section score.

Section A: Population of Focus and Statement of Need (10 points)

- Provide a comprehensive demographic profile of the school-aged youth in your LEA and respective community in terms of race, ethnicity, federally recognized tribe(s), language, gender, age, socioeconomic characteristics, sexual identity (sexual orientation, gender identity) and other relevant factors, such as literacy.
- Discuss the relationship of the school-aged youth including sub-populations, to the overall population in your geographic LEA area and identify sub-population disparities, if any, relating to access/use/outcomes of your provided services citing relevant data. Demonstrate an understanding of these populations consistent with the purpose of your program and intent of the RFA. Include a detailed description of school composition within the LEA (i.e., number of elementary, secondary schools, alternative, and any other types of schools.)
- Describe any currently available resources that can be used to support the NITT-AWARE-LEA program.
- Describe the mental/behavioral health service need and gaps, and document the extent of the need (i.e., current prevalence rates or incidence data of mental

health problems, service utilization) for school-aged youth with data. The source of the data must be identified.

Section B: Proposed Training Plan Approach (30 points)

Describe the MHFA or YMHFA training plan and how it addresses the following:

- The selection of MHFA/YMHFA, depending on the developmental appropriateness of the target population. [NOTE: developmental appropriateness is defined as the use of strategies and programs that are valid and appropriate for a specific age group or developmental level.]
- Identification of a MHFA/YMHFA program coordinator to lead, manage, and oversee all aspects of NITT-AWARE-LEA. [NOTE: The Program Coordinator should be trained in MHFA/YMHFA within 60 days after award.]
- Identification of the total number of individuals to be trained as MHFA/ YMHFA instructors.
- Identification of the total number of people to be trained by the MHFA/YMHFA instructors. [NOTE: A minimum of 250 persons within each LEA and respective community must be trained in MHFA/YMHFA.]
- Based on the size of the community, identification of the number of additional youth-serving adults (i.e., more than the minimum of 250 persons) to ensure that a sufficient number of adults trained in MHFA/YMHFA will effectively saturate the community.
- Development of a plan to track MHFA/YMHFA certification and establish a cadre of trainers for the LEA and respective community.
- Identification of any current implementation of MHFA or YMHFA training and/or resources in your community, clearly identifying how AWARE-LEA will enhance, support, or expand any existing training activities.
- Obtaining the necessary materials for the trainers and trainees. This includes manuals, referral guides, reference resources, and other materials that may be necessary to successfully conduct trainings.
- Providing necessary supports (e.g., substitute teachers for school personnel, training facilities) as needed.

Section C: Proposed Implementation Approach (35 points)

- Describe how achievement of the goals will produce meaningful and relevant results for your community (e.g., increase awareness of mental health issues, increase ability to identify a youth in crisis and appropriately intervene, increase

understanding of referral and treatment services.) Provide a chart or graph depicting a realistic time line for the entire project period showing key activities, milestones, and responsible staff. These key activities should include the requirements outlined in Section 1-2: EXPECTATIONS. Be sure to show that the project can be implemented and MHFA or YMHFA service delivery can begin as soon as possible and no later than **4 months** after grant award. **[Note:** The time line should be included as a part of the application narrative. It should not be included in the application as an Attachment of Appendix.]

- Describe how the proposed training approach will address outreach, engagement, and delivery of MHFA/YMHFA to youth-serving adults who are representative of the demographics and diversity of the community.
- Describe how you will ensure the input of youth and families in planning, implementing, and assessing, MHFA/YMHFA.
- Describe how you will build the capacity and leadership to sustain MHFA/YMHFA when federal funding ends.

Describe how your proposed project will build on, enhance, and not duplicate current activities under similar programs, such as existing or past funding to improve or coordinate the infrastructure of child and youth serving systems, the behavioral health system or increase collaboration between mental health, education and juvenile justice.

- Describe how you will build on, enhance, and not duplicate current activities should you receive funding under the SAMHSA “Now is the Time” Project AWARE State Educational Agency grant program.
- Describe how you will collaborate and coordinate grant activities with the Department of Education’s LEA School Climate Transformation Grants and the Department of Justice’s Now is The Time – School Justice Collaboration Assistance (SJCA), Keeping Kids In School and Out of Court grant program.
- Describe any modifications that will be made, the reasons the modifications are necessary, and the implications of these modifications to the fidelity of MHFA/YMHFA.
- Describe the process and you used to select MHFA/YMHFA to train adults serving school-aged youth

Section D: Staff and Organizational Experience (15 points)

- Discuss the capability and experience of the LEA, required partners, and any other participating organizations for this program. Demonstrate that the required partners and any other participating organizations have linkages to the population of focus (i.e., school-aged youth) and ties to grassroots and other

community-based organizations that are rooted in the culture(s) and language(s) of the community.

- Provide a complete list of staff positions for the project, including the MHFA or YMHFA Project Coordinator and any other personnel, showing the role of each and their level of effort and qualifications.
- Discuss how the proposed staff has demonstrated experience and are qualified to serve school-aged youth, engage youth-serving adults, and are familiar with the culture, demographics, and language(s) of the LEA and respective community.

Section E: Data Collection and Performance Measurement (10 points)

- Document your ability to collect and report on the required performance measures as specified in [Section I-2.2](#) of this RFA.
- Describe your plan for data collection, management, analysis and reporting. Specify and justify any additional measures or instruments you plan to use for your grant project.
- Describe your plan for conducting the local performance assessment as specified in [Section I-2.3](#) of this RFA and document your ability to conduct the assessment.

NOTE: Although the budget for the proposed project is not a scored review criterion, the Review Group will be asked to comment on the appropriateness of the budget after the merits of the application have been considered.

Budget Justification, Existing Resources, Other Support (other federal and non-federal sources)

You must provide a narrative justification of the items included in your proposed budget, as well as a description of existing resources and other support you expect to receive for the proposed project. Other support is defined as funds or resources, whether federal, non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, in-kind contributions or non-federal means. (This should correspond to Item #18 on your SF-424, Estimated Funding.) Other sources of funds may be used for unallowable costs, e.g., meals, sporting events, entertainment.

Be sure to show that no more than 10% of the total grant award will be used for data collection, performance measurement and performance assessment. **Specifically identify the items associated with these costs in your budget.** An illustration of a budget and narrative justification is included in [Appendix F](#), Sample Budget and Justification, of this document.

The budget justification and narrative must be submitted as file BNF when you submit your application into Grants.gov. (See Appendix B, Guidance for Electronic Submission of Applications.)

SUPPORTING DOCUMENTATION

Section F: Literature Citations. This section must contain complete citations, including titles and all authors, for any literature you cite in your application.

Section G: Biographical Sketches and Job Descriptions.

- Include position descriptions for the Project Coordinator and any other key personnel. Each position description should not be longer than 1 page.
- For staff that has been identified, include a biographical sketch for the Project Coordinator and any other key positions. Each sketch should be 2 pages or less. Reviewers will not consider information past page 2.
- Information on what you should include in your biographical sketches and job descriptions can be found in [Appendix E](#) of this document.

Section H: Confidentiality and SAMHSA Participant Protection/Human Subjects: You must describe procedures relating to Confidentiality, Participant Protection and the Protection of Human Subjects Regulations in Section H of your application. See [Appendix G](#) for guidelines on these requirements.

2. REVIEW AND SELECTION PROCESS

SAMHSA applications are peer-reviewed according to the evaluation criteria listed above.

Decisions to fund a grant are based on:

- The strengths and weaknesses of the application as identified by peer reviewers; and
- SAMHSA will prioritize funding based on applicants receiving an ED LEA School Climate Transformation grant.

VI. ADMINISTRATION INFORMATION

1. AWARD NOTICES

You will receive a letter from SAMHSA through postal mail that describes the general results of the review of your application, including the score that your application received.

If you are approved for funding, you will receive an **additional** notice through postal mail, the Notice of Award (NoA), signed by SAMHSA's Grants Management Officer. The Notice of Award is the sole obligating document that allows you to receive federal funding for work on the grant project.

If you are not funded, you will receive notification from SAMHSA.

2. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

- If your application is funded, you must comply with all terms and conditions of the grant award. SAMHSA's standard terms and conditions are available on the SAMHSA website at <http://www.samhsa.gov/grants/management.aspx>.
- If your application is funded, you must also comply with the administrative requirements outlined in 45 CFR Part 74 or 45 CFR Part 92, as appropriate. For more information see the SAMHSA website (<http://www.samhsa.gov/grants/management.aspx>).
- Depending on the nature of the specific funding opportunity and/or your proposed project as identified during review, SAMHSA may negotiate additional terms and conditions with you prior to grant award. These may include, for example:
 - actions required to be in compliance with confidentiality and participant protection/human subjects requirements;
 - requirements relating to additional data collection and reporting;
 - requirements relating to participation in a cross-site evaluation;
 - requirements to address problems identified in review of the application; or
 - revised budget and narrative justification.
- If your application is funded, you will be held accountable for the information provided in the application relating to performance targets. SAMHSA program officials will consider your progress in meeting goals and objectives, as well as your failures and strategies for overcoming them, when making an annual recommendation to continue the grant and the amount of any continuation award. Failure to meet stated goals and objectives may result in suspension or termination of the grant award, or in reduction or withholding of continuation awards.
- If your application is funded, you must comply with Executive Order 13166, which requires that recipients of federal financial assistance provide meaningful access to limited English proficient (LEP) persons in their programs and activities. You may assess the extent to which language assistance services are necessary in your grant program by utilizing the HHS *Guidance to Federal Financial*

Assistance Recipients Regarding Title VI Prohibition against National Origin Discrimination Affecting Limited English Proficient Persons, available at <http://www.hhs.gov/ocr/civilrights/resources/laws/revisedlep.html>.

- Grant funds cannot be used to supplant current funding of existing activities. “Supplant” is defined as replacing funding of a recipient’s existing program with funds from a federal grant.

3. REPORTING REQUIREMENTS

In addition to the data reporting requirements listed in Section I-2.2, grantees must comply with the reporting requirements listed on the SAMHSA website at <http://beta.samhsa.gov/grants/grants-management/reporting-requirements>.

VII. AGENCY CONTACTS

For questions on grants management and budget issues contact:

Gwendolyn Simpson
Office of Financial Resources, Division of Grants Management
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 7-1091
Rockville, Maryland 20857
(240) 276-1408
gwendolyn.simpson@samhsa.hhs.gov

For questions about program issues, contact:

Michelle Bechard
Center for Mental Health Services
Substance Abuse and Mental Health Services Administration
1 Choke Cherry Road
Room 6-1097
Rockville MD 20857
240-276-1872
LEA_AWARE@samhsa.hhs.gov

Appendix A – Checklist for Formatting Requirements and Screen-out Criteria for SAMHSA Grant Applications

*SAMHSA's goal is to review all applications submitted for grant funding. However, this goal must be balanced against SAMHSA's obligation to ensure equitable treatment of applications. For this reason, SAMHSA has established certain formatting requirements for its applications. **If you do not adhere to these requirements, your application will be screened out and returned to you without review.***

- Use the SF-424 Application form; Budget Information form SF-424A; Project/Performance Site Location(s) form; Disclosure of Lobbying Activities, if applicable; and Checklist.
- Applications must be received by the application due date and time, as detailed in Section IV-3 of this grant announcement.
- You must be registered in the System Award Management (SAM) prior to submitting your application. The DUNS number used on your application must be registered and active in the SAM prior to submitting your application.
- Information provided must be sufficient for review.
- Text must be legible. Pages must be typed in black, single-spaced, using a font of Times New Roman 12, with all margins (left, right, top, bottom) at least one inch each. **You may use Times New Roman 10 only for charts or tables.** (See additional requirements in Appendix B, "Guidance for Electronic Submission of Applications.")
- To ensure equity among applications, page limits for the Project Narrative cannot be exceeded.

To facilitate review of your application, follow these additional guidelines. Failure to adhere to the following guidelines will not, in itself, result in your application being screened out and returned without review. However, the information provided in your application must be sufficient for review. Following these guidelines will help ensure your application is complete, and will help reviewers to consider your application.

- Applications should comply with the following requirements:
 - Provisions relating to confidentiality and participant protection/human subjects specified in Appendix G of this announcement
 - Budgetary limitations as specified in Sections I, II, and IV-5 of this announcement
 - Documentation of nonprofit status as required in the Checklist.

- Black print should be used throughout your application, including charts and graphs (no color). **Materials with printing on both sides will be excluded from the application and not sent to peer reviewers.**
- Pages should be numbered consecutively from beginning to end so that information can be located easily during review of the application. The abstract page should be page 1, the table of contents should be page 2, etc. The four pages of the SF-424 are not to be numbered. Attachments should be labeled and separated from the Project Narrative and budget section, and the pages should be numbered to continue the sequence.
- The page limits for Attachments stated in Section IV-2.2 of this announcement should not be exceeded.

Appendix B – Guidance for Electronic Submission of Applications

SAMHSA discretionary grant applications must be submitted electronically through Grants.gov. **SAMHSA will not accept paper applications**, except when a waiver of this requirement is approved by SAMHSA. The process for applying for a waiver is described later in this appendix.

If this is the first time you have submitted an application through Grants.gov, you must complete **three separate registration processes** before you can submit your application. Allow at least two weeks (10 business days) for these registration processes, prior to submitting your application. The processes are:

1. DUNS Number registration:

The DUNS number you use on your application must be registered and active in the SAM.

2. System for Award Management (SAM) registration:

The **System for Award Management (SAM)** is a federal government owned and operated free website that replaces capabilities of the former Central Contractor Registry (CCR) system, as well as EPLS. Future phases of SAM will add the capabilities of other systems used in federal awards processes.

SAM information must be updated at least every 12 months to remain active (for both grantees and sub-recipients). Once you update your record in SAM, it will take 48 to 72 hours to complete the validation processes.

Grants.gov will reject electronic submissions from applicants with expired registrations. To create a user account, Register/Update entity and/or Search Records from CCR, go to <https://www.sam.gov>.

You will find a ***Quick Start Guide for Entities Interested in Being Eligible for Grants through SAM*** at https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf.

3. Grants.gov Registration (get username and password):

Be sure the person submitting your application is properly registered with Grants.gov as the Authorized Organization Representative (AOR) for the specific DUNS number cited on the SF-424 (first page). See the Organization Registration User Guide for details at the following Grants.gov link: <http://www.grants.gov/web/grants/applicants/organization-registration.html>.

You can find additional information about the Grants.gov process at <http://www.grants.gov/web/grants/outreach/grantsgov-training.html>.

To submit your application electronically, you may search <http://www.Grants.gov> for the downloadable application package by the funding announcement number (called the opportunity number) or by the Catalogue of Federal Domestic Assistance (CFDA) number. You can find the funding announcement number and CFDA number on the cover page of this funding announcement.

You must follow the instructions in the User Guide available at the <http://www.Grants.gov> apply site, on the Help page. In addition to the User Guide, you may wish to use the following sources for technical (IT) help:

- By e-mail: support@Grants.gov
- By phone: 1-800-518-4726 (1-800-518-GRANTS). The Grants.gov Contact Center is available 24 hours a day, 7 days a week, excluding federal holidays.

Please allow sufficient time to enter your application into Grants.gov. When you submit your application, you will receive a notice that your application is being processed and that you will receive two e-mails from Grants.gov within the next 24-48 hours. One will confirm receipt of the application in Grants.gov, and the other will indicate that the application was either successfully validated by the system (with a tracking number) or rejected due to errors. It will also provide instructions that if you do not receive a receipt confirmation **and** a validation confirmation or a rejection e-mail within 48 hours, you must contact Grants.gov directly. It is important that you retain this tracking number.

Receipt of the tracking number is the only indication that Grants.gov has successfully received and validated your application. If you do not receive a Grants.gov tracking number, you may want to contact the Grants.gov help desk for assistance. Please note that it is incumbent on the applicant to monitor your application to ensure that it is successfully received and validated by Grants.gov. **If your application is not successfully validated by Grants.gov, it will not be forwarded to SAMHSA as the receiving institution.**

If you experience issues/problems with electronic submission of your application through Grants.gov, contact the Grants.gov helpdesk by email at support@grants.gov or by phone at 1-800-518-4726 (1-800-518-GRANTS). **Make sure you get a case/ticket/reference number that documents the issues/problems with Grants.gov.** It is critical that you initiate electronic submission in sufficient time to resolve any issues/problems that may prevent the electronic submission of your application. Grants.gov will reject applications submitted after 11:59 PM on the application due date.

SAMHSA highly recommends that you submit your application 24-48 hours before the submission deadline. Many submission issues can be fixed within that time and you can attempt to re-submit. However, if you have not completed your Grants.gov, SAM, and DUNS registration at least 2 weeks prior to the submission deadline, it is highly unlikely

that these issues will be resolved in time to successfully submit an electronic application.

It is strongly recommended that you prepare your Project Narrative and other attached documents in Adobe PDF format. If you do not have access to Adobe software, you may submit in Microsoft Office 2007 products (e.g., Microsoft Word 2007, Microsoft Excel 2007, etc.). Directions for creating PDF files can be found on the Grants.gov website. Use of file formats other than Adobe PDF or Microsoft Office 2007 may result in your file being unreadable by our staff.

The Abstract, Table of Contents, Project Narrative, Supporting Documentation, Budget Justification, and Attachments must be combined into 4 separate files in the electronic submission. **If the number of files exceeds 4, only the four files will be downloaded and considered in the peer review of applications.**

Formatting requirements for SAMHSA e-Grant application files are as follows:

- Project Narrative File (PNF): The PNF consists of the Abstract, Table of Contents, and Project Narrative (Sections A-E) in this order and numbered consecutively.
- Budget Narrative File (BNF): The BNF consists of only the budget justification narrative.
- Other Attachment File 1: The first Other Attachment file will consist of the Supporting Documentation (Sections G-H) in this order and lettered consecutively.
- Other Attachment File 2: The second Other Attachment file will consist of the Attachments (Attachments 1-3) in this order and numbered consecutively.

If you have documentation that does not pertain to any of the 4 listed attachment files, include that documentation in Other Attachment File 2.

Other Grants.gov Requirements

Applicants are limited to using the following characters in all attachment file names:

Valid file names may include only the following characters:

- A-Z
- a-z
- 0-9
- Underscore _
- Hyphen –
- Space
- Period.

If your application uses any other characters when naming your attachment files, your application will be rejected by Grants.gov.

Do not use special characters in file names, such as parenthesis (), #, ©, etc.

Scanned images must be scanned at 150-200 dpi/ppi resolution and saved as a jpeg or pdf file. Using a higher resolution setting or different file type could result in rejection of your application.

Waiver Request Process

Applicants may request a waiver of the requirement for electronic submission if they are unable to submit electronically through the Grants.gov portal because their physical location does not have adequate access to the Internet. Inadequate Internet access is defined as persistent and unavoidable access problems/issues that would make compliance with the electronic submission requirement a hardship. The process for applying for a waiver is described below. Questions on applying for a waiver may be directed to SAMHSA's Division of Grant Review, 240-276-1199.

All applicants must register in the System for Award Management (SAM) and Grants.gov, even those who intend to request a waiver. If you do not have an active SAM registration prior to submitting your paper application, it will be screened out and returned to you without review. Registration is necessary to ensure that information required for paper submission is available and that the applicant is ready to submit electronically if the waiver is denied. (See directions for registering in SAM and on Grants.gov above.)

A written waiver request must be received by SAMHSA at least 15 calendar days in advance of the application due date stated on the cover page of this RFA. The request must be either e-mailed to DGR.Waivers@samhsa.hhs.gov, or mailed to:

Diane Abbate, Director of Grant Review
Office of Financial Resources
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD 20857

Applicants are encouraged to request a waiver by e-mail, when possible. When requesting a waiver, the following information must be included:

- SAMHSA RFA title and announcement number
- Name, address, and telephone number of the applicant organization as they will appear in the application
- Applicant organization's DUNS number
- Authorized Organization Representative (AOR) for the named applicant

- Name, telephone number, and e-mail of the applicant organization's Contact Person for the waiver
- Details of why the organization is unable to submit electronically through the Grants.gov portal, explaining why their physical location does not have adequate access to the Internet.

The Office of Grant Review will either e-mail (if the waiver request was received by e-mail) or express mail/deliver (if the waiver request was received by mail) the waiver decision to the Contact Person no later than seven calendar days prior to the application due date. If the waiver is approved, a paper application must be submitted. (See instructions for submitting a paper application below.) SAMHSA will not accept any applications that are sent by e-mail or facsimile or hand carried. If the waiver is disapproved, the applicant organization must be prepared to submit through Grants.gov or forfeit the opportunity to apply. The written approval must be included as the cover page of the paper application and the application must be received by the due date.

A waiver approval is valid for the remainder of the fiscal year and may be used for other SAMHSA discretionary grant applications during that fiscal year. When submitting a subsequent paper application within the same fiscal year, this waiver approval must be included as the cover page of each paper application. The organization and DUNS number named in the waiver and any subsequent application must be identical.

A paper application will not be accepted without the waiver approval and will be returned to the applicant if it is not included. Paper applications received after the due date will not be accepted.

Instructions for Submitting a Paper Application with a Waiver

Paper submissions are due by **5:00 PM** on the application due date stated on the cover page of this RFA. **Applications may be shipped using only Federal Express (FedEx), United Parcel Service (UPS), or the United States Postal Service (USPS).** You will be notified by postal mail that your application has been received.

Note: If you use the USPS, you must use Express Mail.

SAMHSA will not accept or consider any applications that are sent by e-mail or facsimile or hand carried.

If you are submitting a paper application, you must submit an original application and 2 copies (including attachments). The original and copies must not be bound and nothing should be attached, stapled, folded, or pasted. Do not use staples, paper clips, or fasteners. You may use rubber bands.

Send applications to the address below:

For United States Postal Service:

Diane Abbate, Director of Grant Review
Office of Financial Resources
Substance Abuse and Mental Health Services Administration
Room 3-1044
1 Choke Cherry Road
Rockville, MD **20857**

Change the zip code to **20850** if you are using FedEx or UPS.

Do not send applications to other agency contacts, as this could delay receipt. Be sure to include “**NITT-AWARE-LEA RFA # SM-14-019**” in item number 12 on the first page (SF-424) of your paper application. If you require a phone number for delivery, you may use (240) 276-1199.

Your application must be received by the application deadline or it will not be considered for review. Please remember that mail sent to federal facilities undergoes a security screening prior to delivery. You are responsible for ensuring that you submit your application so that it will arrive by the application due date and time.

If an application is mailed to a location or office (including room number) that is not designated for receipt of the application and, as a result, the designated office does not receive your application by the deadline, your application will be considered late and ineligible for review.

If you are submitting a paper application, the application components required for SAMHSA applications should be submitted in the following order:

- Application for Federal Assistance (SF-424)
- Abstract
- Table of Contents
- Budget Information Form (SF-424A)
- Project Narrative and Supporting Documentation
- Attachments
- Project/Performance Site Location(s) Form
- Disclosure of Lobbying Activities (Standard Form LLL, if applicable)
- Checklist – the Checklist should be the last page of your application.

- Documentation of nonprofit status as required in the Checklist

Do not use heavy or lightweight paper or any material that cannot be copied using automatic copying machines. Odd-sized and oversized attachments, such as posters, will not be copied or sent to reviewers. Do not include videotapes, audiotapes, or CD-ROMs.

Black print should be used throughout your application, including charts and graphs (no color). Pages should be typed single-spaced with one column per page. Pages should not have printing on both sides. Pages with printing on both sides run the risk of an incomplete application going to peer reviewers, since scanning and copying may not duplicate the second side. **Materials with printing on both sides will be excluded from the application and not sent to peer reviewers.**

With the exception of standard forms in the application package, all pages in your application should be numbered consecutively. **Documents containing scanned images must also contain page numbers to continue the sequence.** Failure to comply with these requirements may affect the successful transmission and consideration of your application.

Appendix C – Statement of Assurance

As the authorized representative of [*insert name of applicant organization*], I assure SAMHSA that all participating service provider organizations listed in this application meet the two-year experience requirement and applicable licensing, accreditation, and certification requirements. If this application is within the funding range for a grant award, we will provide the SAMHSA Government Project Officer (GPO) with the following documents. I understand that if this documentation is not received by the GPO within the specified timeframe, the application will be removed from consideration for an award and the funds will be provided to another applicant meeting these requirements.

- a letter of commitment from every mental health/substance abuse treatment service provider organization listed in **Attachment 1** of the application that specifies the nature of the participation and the service(s) that will be provided;
- official documentation that all mental health/substance abuse treatment provider organizations participating in the project have been providing relevant services for a minimum of 2 years prior to the date of the application in the area(s) in which services are to be provided. Official documents must definitively establish that the organization has provided relevant services for the last 2 years; and
- official documentation that all mental health/substance abuse treatment provider organizations: 1) comply with all local (city, county) and state requirements for licensing, accreditation, and certification; OR 2) official documentation from the appropriate agency of the applicable state, county, other governmental unit that licensing, accreditation, and certification requirements do not exist. (Official documentation is a copy of each service provider organization's license, accreditation, and certification. Documentation of accreditation will not be accepted in lieu of an organization's license. A statement by, or letter from, the applicant organization or from a provider organization attesting to compliance with licensing, accreditation and certification or that no licensing, accreditation, certification requirements exist does not constitute adequate documentation.)

Signature of Authorized Representative

Date

Appendix D – Funding Restrictions

SAMHSA grant funds must be used for purposes supported by the program and may not be used to:

- Pay for any lease beyond the project period.
- Provide services to incarcerated populations (defined as those persons in jail, prison, detention facilities, or in custody where they are not free to move about in the community).
- Pay for the purchase or construction of any building or structure to house any part of the program. (Applicants may request up to \$75,000 for renovations and alterations of existing facilities, if necessary and appropriate to the project.)
- Provide residential or outpatient treatment services when the facility has not yet been acquired, sited, approved, and met all requirements for human habitation and services provision. (Expansion or enhancement of existing residential services is permissible.)
- Pay for housing other than residential mental health and/or substance abuse treatment.
- Provide inpatient treatment or hospital-based detoxification services. Residential services are not considered to be inpatient or hospital-based services.
- Only allowable costs associated with the use of federal funds are permitted to fund evidence-based practices (EBPs). Other sources of funds may be used for unallowable costs (e.g., meals, sporting events, entertainment). Other support is defined as funds or resources, whether federal, non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, or in-kind contributions.
- Make direct payments to individuals to induce them to enter prevention or treatment services. However, SAMHSA discretionary grant funds may be used for non-clinical support services (e.g., bus tokens, child care) designed to improve access to and retention in prevention and treatment programs.
- Make direct payments to individuals to encourage attendance and/or attainment of prevention or treatment goals. However, SAMHSA discretionary grant funds may be used for non-cash incentives of up to \$30 to encourage attendance and/or attainment of prevention or treatment goals when the incentives are built into the program design and when the incentives are the minimum amount that is deemed necessary to meet

program goals. SAMHSA policy allows an individual participant to receive more than one incentive over the course of the program. However, non-cash incentives should be limited to the minimum number of times deemed necessary to achieve program outcomes. A grantee or treatment or prevention provider may also provide up to \$30 cash or equivalent (coupons, bus tokens, gifts, child care, and vouchers) to individuals as incentives to participate in required data collection follow up. This amount may be paid for participation in each required interview.

- Meals are generally unallowable unless they are an integral part of a conference grant or specifically stated as an allowable expense in the RFA. Grant funds may be used for light snacks, not to exceed \$2.50 per person.
- Funds may not be used to distribute sterile needles or syringes for the hypodermic injection of any illegal drug.
- Pay for pharmacologies for HIV antiretroviral therapy, sexually transmitted diseases (STD)/sexually transmitted illnesses (STI), TB, and hepatitis B and C, or for psychotropic drugs.

SAMHSA will not accept a “research” indirect cost rate. The grantee must use the “other sponsored program rate” or the lowest rate available.

Appendix E – Biographical Sketches and Job Descriptions

Biographical Sketch

Existing curricula vitae of project staff members may be used if they are updated and contain all items of information requested below. You may add any information items listed below to complete existing documents. For development of new curricula vitae include items below in the most suitable format:

1. Name of staff member
2. Educational background: school(s), location, dates attended, degrees earned (specify year), major field of study
3. Professional experience
4. Honors received and dates
5. Recent relevant publications
6. Other sources of support [Other support is defined as all funds or resources, whether federal, non-federal, or institutional, available to the Project Director/Program Director (and other key personnel named in the application) in direct support of their activities through grants, cooperative agreements, contracts, fellowships, gifts, prizes, and other means.]

Job Description

1. Title of position
2. Description of duties and responsibilities
3. Qualifications for position
4. Supervisory relationships
5. Skills and knowledge required
6. Personal qualities
7. Amount of travel and any other special conditions or requirements
8. Salary range
9. Hours per day or week

Appendix F – Sample Budget and Justification (no match required)

THIS IS AN ILLUSTRATION OF A SAMPLE DETAILED BUDGET AND NARRATIVE JUSTIFICATION WITH GUIDANCE FOR COMPLETING SF-424A: SECTION B FOR THE BUDGET PERIOD

A. Personnel: Provide employee(s) (including names for each identified position) of the applicant/recipient organization, including in-kind costs for those positions whose work is tied to the grant project.

FEDERAL REQUEST

Position	Name	Annual Salary/Rate	Level of Effort	Cost
(1) Project Director	John Doe	\$64,890	10%	\$6,489
(2) Grant Coordinator	To be selected	\$46,276	100%	\$46,276
(3) Clinical Director	Jane Doe	In-kind cost	20%	0
			TOTAL	\$52,765

JUSTIFICATION: Describe the role and responsibilities of each position.

- (1) The Project Director will provide daily oversight of the grant and will be considered key staff.
- (2) The Coordinator will coordinate project services and project activities, including training, communication and information dissemination.
- (3) The Clinical Director will provide necessary medical direction and guidance to staff for 540 clients served under this project.

Key staff positions require prior approval by SAMHSA after review of credentials of resume and job description.

FEDERAL REQUEST (enter in Section B column 1 line 6a of form S-424A) **\$52,765**

B. Fringe Benefits: List all components that make up the fringe benefits rate

FEDERAL REQUEST

Component	Rate	Wage	Cost
FICA	7.65%	\$52,765	\$4,037
Workers Compensation	2.5%	\$52,765	\$1,319
Insurance	10.5%	\$52,765	\$5,540
		TOTAL	\$10,896

JUSTIFICATION: Fringe reflects current rate for agency.

FEDERAL REQUEST (enter in Section B column 1 line 6b of form SF-424A) **\$10,896**

C. Travel: Explain need for all travel other than that required by this application. Local travel policies prevail.

FEDERAL REQUEST

Purpose of Travel	Location	Item	Rate	Cost
(1) Grantee Conference	Washington, DC	Airfare	\$200/flight x 2 persons	\$400
		Hotel	\$180/night x 2 persons x 2 nights	\$720
		Per Diem (meals and incidentals)	\$46/day x 2 persons x 2 days	\$184
(2) Local travel		Mileage	3,000 miles @ .38/mile	\$1,140
			TOTAL	\$2,444

JUSTIFICATION: Describe the purpose of travel and how costs were determined.

(1) Two staff (Project Director and Evaluator) to attend mandatory grantee meeting in Washington, DC.

(2) Local travel is needed to attend local meetings, project activities, and training events. Local travel rate is based on organization's policies/procedures for privately owned vehicle reimbursement rate. If policy does not have a rate use GSA.

FEDERAL REQUEST (enter in Section B column 1 line 6c of form SF-424A) **\$2,444**

D. Equipment: An article of tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (federal definition).

FEDERAL REQUEST – (enter in Section B column 1 line 6d of form SF-424A) **\$ 0**

E. Supplies: Materials costing less than \$5,000 per unit and often having one-time use

FEDERAL REQUEST

Item(s)	Rate	Cost
General office supplies	\$50/mo. x 12 mo.	\$600
Postage	\$37/mo. x 8 mo.	\$296
Laptop Computer	\$900	\$900
Printer	\$300	\$300
Projector	\$900	\$900
Copies	8000 copies x .10/copy	\$800
	TOTAL	\$3,796

JUSTIFICATION: Describe the need and include an adequate justification of how each cost was estimated.

(1) Office supplies, copies and postage are needed for general operation of the project.

(2) The laptop computer and printer are needed for both project work and presentations for Project Director.

(3) The projector is needed for presentations and workshops. All costs were based on retail values at the time the application was written.

FEDERAL REQUEST – (enter in Section B column 1 line 6e of form SF-424A) **\$ 3,796**

F. Contract: A contractual arrangement to carry out a portion of the programmatic effort or for the acquisition of routine goods or services under the grant. Such arrangements may be in the form of consortium agreements or contracts. A consultant is an individual retained to provide professional advice or services for a fee. The applicant/grantee must establish written procurement policies and procedures that are consistently applied. All procurement transactions shall be conducted in a manner to provide to the maximum extent practical, open and free competition.

COSTS FOR CONTRACTS MUST BE BROKEN DOWN IN DETAIL AND A NARRATIVE JUSTIFICATION PROVIDED. IF APPLICABLE, NUMBERS OF CLIENTS SHOULD BE INCLUDED IN THE COSTS.

FEDERAL REQUEST

Name	Service	Rate	Other	Cost
(1) State Department of Human Services	Training	\$250/individual x 3 staff	5 days	\$750
(2) Treatment Services	1040 Clients	\$27/client per year		\$28,080
(3) John Smith (Case Manager)	Treatment Client Services	1FTE @ \$27,000 + Fringe Benefits of \$6,750 = \$33,750	*Travel at 3,124 @ .50 per mile = \$1,562 *Training course \$175 *Supplies @ \$47.54 x 12 months or \$570 *Telephone @ \$60 x 12 months = \$720 *Indirect costs = \$9,390 (negotiated with contractor)	\$46,167
(4) Jane Smith	Evaluator	\$40 per hour x 225 hours	12 month period	\$9,000
(5) To Be Announced	Marketing Coordinator	Annual salary of \$30,000 x 10% level of effort		\$3,000
			TOTAL	\$86,997

JUSTIFICATION: Explain the need for each contractual agreement and how it relates to the overall project.

- (1) Certified trainers are necessary to carry out the purpose of the statewide Consumer Network by providing recovery and wellness training, preparing consumer leaders statewide, and educating the public on mental health recovery.
- (2) Treatment services for clients to be served based on organizational history of expenses.
- (3) Case manager is vital to client services related to the program and outcomes.
- (4) Evaluator is provided by an experienced individual (Ph.D. level) with expertise in substance abuse, research and evaluation, is knowledgeable about the population of focus, and will report GPRA data.
- (5) Marketing Coordinator will develop a plan to include public education and outreach efforts to engage clients of the community about grantee activities, and provision of presentations at public meetings and community events to stakeholders, community civic organizations, churches, agencies, family groups and schools.

***Represents separate/distinct requested funds by cost category**

FEDERAL REQUEST – (enter in Section B column 1 line 6f of form SF-424A) **\$86,997**

G. Construction: NOT ALLOWED – Leave Section B columns 1& 2 line 6g on SF-424A blank.

H. Other: Expenses not covered in any of the previous budget categories

FEDERAL REQUEST

Item	Rate	Cost
(1) Rent*	\$15/sq.ft x 700 sq. feet	\$10,500
(2) Telephone	\$100/mo. x 12 mo.	\$1,200
(3) Client Incentives	\$10/client follow up x 278 clients	\$2,780
(4) Brochures	.89/brochure X 1500 brochures	\$1,335
	TOTAL	\$15,815

JUSTIFICATION: Break down costs into cost/unit (e.g. cost/square foot). Explain the use of each item requested.

(1) Office space is included in the indirect cost rate agreement; however, if other rental costs for service site(s) are necessary for the project, they may be requested as a direct charge. The rent is calculated by square footage or FTE and reflects SAMHSA's fair share of the space.

***If rent is requested (direct or indirect), provide the name of the owner(s) of the space/facility. If anyone related to the project owns the building which is less than an arms length arrangement, provide cost of ownership/use allowance calculations. Additionally, the lease and floor plan (including common areas) is required for all projects allocating rent costs.**

(2) The monthly telephone costs reflect the % of effort for the personnel listed in this application for the SAMHSA project only.

(3) The \$10 incentive is provided to encourage attendance to meet program goals for 278 client follow-ups.

(4) Brochures will be used at various community functions (health fairs and exhibits).

FEDERAL REQUEST – (enter in Section B column 1 line 6h of form SF-424A) **\$15,815**

Indirect Cost Rate: Indirect costs can be claimed if your organization has a negotiated indirect cost rate agreement. It is applied only to direct costs to the agency as allowed in the agreement. For information on applying for the indirect rate go to:
<https://rates.psc.gov/fms/dca/map1.html>.

FEDERAL REQUEST (enter in Section B column 1 line 6j of form SF-424A)

8% of personnel and fringe (.08 x \$63,661) \$5,093

=====

TOTAL DIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6i of form SF-424A) **\$172,713**

INDIRECT CHARGES:

FEDERAL REQUEST – (enter in Section B column 1 line 6j of form SF-424A) **\$5,093**

TOTAL: (sum of 6i and 6j)

FEDERAL REQUEST – (enter in Section B column 1 line 6k of form SF-424A)

\$177,806

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Provide the total proposed project period and federal funding as follows:

Proposed Project Period

a. Start Date: **9/30/2014**

b. End Date: **09/29/2016**

BUDGET SUMMARY (should include future years and projected total)

Category	Year 1	Year 2*	Total Project Costs
Personnel	\$52,765	\$54,348	\$280,136
Fringe	\$10,896	\$11,223	\$57,847
Travel	\$2,444	\$2,444	\$12,220
Equipment	0	0	0
Supplies	\$3,796	\$3,796	\$18,980
Contractual	\$86,997	\$86,997	\$434,985
Other	\$15,815	\$13,752	\$57,823
Total Direct Charges	\$172,713	\$172,560	\$861,991
Indirect Charges	\$5,093	\$5,246	\$27,039
Total Project Costs	\$177,806	\$177,806	\$889,030

TOTAL PROJECT COSTS: Sum of Total Direct Costs and Indirect Costs

FEDERAL REQUEST (enter in Section B column 1 line 6k of form SF-424A) **\$889,030**

***FOR REQUESTED FUTURE YEARS:**

1. Please justify and explain any changes to the budget that differs from the reflected amounts reported in the 01 Year Budget Summary.

2. If a cost of living adjustment (COLA) is included in future years, provide your organization's personnel policy and procedures that state all employees within the organization will receive a COLA.

IN THIS SECTION, REFLECT OTHER FEDERAL AND NON-FEDERAL SOURCES OF FUNDING BY DOLLAR AMOUNT AND NAME OF FUNDER e.g., Applicant, State, Local, Other, Program Income, etc.

Other support is defined as funds or resources, whether federal, non-federal or institutional, in direct support of activities through fellowships, gifts, prizes, in-kind contributions or non-federal means. [Note: Please see [Appendix D – Funding Restrictions](#), regarding allowable costs.]

IN THIS SECTION, include a narrative and separate budget for each year of the grant that shows that no more than 10 percent of the total grant award will be used for data collection, performance measurement, and performance assessment.

Data Collection & Performance Measurement	Year 1	Year 2	Total Data Collection & Performance Measurement Costs
Personnel	\$6,700	\$6,700	\$33,500
Fringe	\$2,400	\$2,400	\$12,000
Travel	\$100	\$100	\$500
Equipment	0	0	0
Supplies	\$750	\$750	\$3,750
Contractual	\$24,950	\$24,950	\$124,750
Other	0	0	0
Total Direct Charges	\$34,300	\$34,300	\$171,500
Indirect Charges	\$698	\$698	\$3,490
Data Collection \$ Performance Measurement	\$34,900	\$34,900	\$174,500

Appendix G – Confidentiality and SAMHSA Participant Protection/Human Subjects Guidelines

Confidentiality and Participant Protection:

Because of the confidential nature of the work in which many SAMHSA grantees are involved, it is important to have safeguards protecting individuals from risks associated with their participation in SAMHSA projects. All applicants (including those who plan to obtain IRB approval) must address the seven elements below. Be sure to discuss these elements as they pertain to on-line counseling (i.e., telehealth) if they are applicable to your program. If some are not applicable or relevant to the proposed project, simply state that they are not applicable and indicate why. In addition to addressing these seven elements, read the section that follows entitled Protection of Human Subjects Regulations to determine if the regulations may apply to your project. If so, you are required to describe the process you will follow for obtaining Institutional Review Board (IRB) approval. While we encourage you to keep your responses brief, there are no page limits for this section and no points will be assigned by the Review Committee. Problems with confidentiality, participant protection, and the protection of human subjects identified during peer review of the application must be resolved prior to funding.

1. Protect Clients and Staff from Potential Risks

- Identify and describe any foreseeable physical, medical, psychological, social, and legal risks or potential adverse effects as a result of the project itself or any data collection activity.
- Describe the procedures you will follow to minimize or protect participants against potential risks, including risks to confidentiality.
- Identify plans to provide guidance and assistance in the event there are adverse effects to participants.
- Where appropriate, describe alternative treatments and procedures that may be beneficial to the participants. If you choose not to use these other beneficial treatments, provide the reasons for not using them.

2. Fair Selection of Participants

- Describe the population(s) of focus for the proposed project. Include age, gender, and racial/ethnic background and note if the population includes homeless youth, foster children, children of substance abusers, pregnant women, or other targeted groups.

- Explain the reasons for including groups of pregnant women, children, people with mental disabilities, and people in institutions, prisoners, and individuals who are likely to be particularly vulnerable to HIV/AIDS.
- Explain the reasons for including or excluding participants.
- Explain how you will recruit and select participants. Identify who will select participants.

3. Absence of Coercion

- Explain if participation in the project is voluntary or required. Identify possible reasons why participation is required, for example, court orders requiring people to participate in a program.
- If you plan to compensate participants, state how participants will be awarded incentives (e.g., money, gifts, etc.). Provide justification that the use of incentives is appropriate, judicious, and conservative and that incentives do not provide an “undue inducement” which removes the voluntary nature of participation. Incentives should be the minimum amount necessary to meet the programmatic and performance assessment goals of the grant. Applicants should determine the minimum amount that is proven effective by consulting with existing local programs and reviewing the relevant literature. In no case may the value of an incentive paid for with SAMHSA discretionary grant funds exceed \$30.
- State how volunteer participants will be told that they may receive services intervention even if they do not participate in or complete the data collection component of the project.

4. Data Collection

- Identify from whom you will collect data (e.g., from participants themselves, family members, teachers, others). Describe the data collection procedures and specify the sources for obtaining data (e.g., school records, interviews, psychological assessments, questionnaires, observation, or other sources). Where data are to be collected through observational techniques, questionnaires, interviews, or other direct means, describe the data collection setting.
- Identify what type of specimens (e.g., urine, blood) will be used, if any. State if the material will be used just for evaluation or if other use(s) will be made. Also, if needed, describe how the material will be monitored to ensure the safety of participants.

- Provide in **Attachment 2**, “Data Collection Instruments/Interview Protocols,” copies of all available data collection instruments and interview protocols that you plan to use.

5. Privacy and Confidentiality

- Explain how you will ensure privacy and confidentiality. Include who will collect data and how it will be collected.
- Describe:
 - How you will use data collection instruments.
 - Where data will be stored.
 - Who will or will not have access to information.
 - How the identity of participants will be kept private, for example, through the use of a coding system on data records, limiting access to records, or storing identifiers separately from data.

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records according to the provisions of **Title 42 of the Code of Federal Regulations, Part II**.

6. Adequate Consent Procedures

- List what information will be given to people who participate in the project. Include the type and purpose of their participation. Identify the data that will be collected, how the data will be used and how you will keep the data private.
- State:
 - Whether or not their participation is voluntary.
 - Their right to leave the project at any time without problems.
 - Possible risks from participation in the project.
 - Plans to protect clients from these risks.
- Explain how you will get consent for youth, the elderly, people with limited reading skills, and people who do not use English as their first language.

NOTE: If the project poses potential physical, medical, psychological, legal, social or other risks, you **must** obtain written informed consent.

- Indicate if you will obtain informed consent from participants or assent from minors along with consent from their parents or legal guardians. Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?
- Include, as appropriate, sample consent forms that provide for: (1) informed consent for participation in service intervention; (2) informed consent for participation in the data collection component of the project; and (3) informed consent for the exchange (releasing or requesting) of confidential information. The sample forms must be included in **Attachment 3, “Sample Consent Forms”**, of your application. If needed, give English translations.

NOTE: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or releases your project or its agents from liability for negligence.

- Describe if separate consents will be obtained for different stages or parts of the project. For example, will they be needed for both participant protection in treatment intervention and for the collection and use of data?
- Additionally, if other consents (e.g., consents to release information to others or gather information from others) will be used in your project, provide a description of the consents. Will individuals who do not consent to having individually identifiable data collected for evaluation purposes be allowed to participate in the project?

7. Risk/Benefit Discussion

- Discuss why the risks are reasonable compared to expected benefits and importance of the knowledge from the project.

Protection of Human Subjects Regulations

SAMHSA expects that most grantees funded under this announcement will not have to comply with the Protection of Human Subjects Regulations (45 CFR 46), which requires Institutional Review Board (IRB) approval. However, in some instances, the applicant’s proposed performance assessment design may meet the regulation’s criteria for research involving human subjects. For assistance in determining if your proposed performance assessment meets the criteria in 45 CFR 46, Protection of Human Subjects Regulations, refer to the SAMHSA decision tree on the SAMHSA website, under “Applying for a New SAMHSA Grant,” <http://beta.samhsa.gov/grants/applying>.

In addition to the elements above, applicants whose projects must comply with the Human Subjects Regulations must fully describe the process for obtaining IRB

approval. While IRB approval is not required at the time of grant award, these grantees will be required, as a condition of award, to provide documentation that an Assurance of Compliance is on file with the Office for Human Research Protections (OHRP). IRB approval must be received in these cases prior to enrolling participants in the project. General information about Human Subjects Regulations can be obtained through OHRP at <http://www.hhs.gov/ohrp>, or ohrp@osophs.dhhs.gov, or (240) 453-6900. SAMHSA-specific questions should be directed to the program contact listed in Section VII of this announcement.

Appendix H – Background

Mental Health First Aid is a public education program that introduces participants to the risk factors and warning signs of mental health problems, builds an understanding of the importance of early intervention, and overviews common supports. This 8-hour course uses role-playing and simulations to demonstrate how to offer initial help in a mental health or substance use crisis through a 5-step action plan, with the ultimate goal to connect persons to appropriate professional, peer, social, and self-help care. The program also teaches the common risk factors and warning signs of specific types of illnesses like anxiety, depression, substance use, bipolar disorder, eating disorders, and schizophrenia. Participants are introduced to local mental health resources, national organizations, support groups, and online tools for mental health and addictions treatment and support.

Originating in Australia in 2001, Mental Health First Aid has since expanded to more than 20 countries. The National Council for Behavioral Health, in partnership with Missouri and Maryland state departments of mental health, introduced Mental Health First Aid in the United States in 2008. These entities are collectively known as the National Authorities of Mental Health First Aid (USA and authorize all Mental Health First Aid certification in the United States. To date, more than 160 thousand individuals have been certified as Mental Health First Aiders, and more than 4 thousand have been certified as instructors.

The MHFA curriculum is offered in two core formats to participants 16 years and older. The adult curriculum is available in both Spanish and English. The course uses role-playing and simulations to demonstrate how to assess a mental health crisis; select interventions and provide initial help; and connect persons to professional, peer and social supports as well as self-help resources.

Youth Mental Health First Aid, as distinguished from the Adult MHFA curriculum, is designed to teach parents, family members, caregivers, teachers, school staff, peers, neighbors, health and human services workers, and other caring citizens how to help an adolescent (age 12-18) who is experiencing a mental health or addictions challenge or is in crisis. Youth Mental Health First Aid is primarily designed for adults who regularly interact with young people. The course introduces common mental health challenges for youth, reviews typical adolescent development, and teaches a 5-step action plan for how to help young people in both crisis and non-crisis situations. Topics covered include anxiety, depression, substance use, disorders in which psychosis may occur, disruptive behavior disorders (including ADHD), and eating disorders.

Curriculum modules are sets of materials designed for MHFA instructors to use when training key audiences. Modules are currently available for the following audiences: Rural, Public Safety, Higher Education, Faith-Based organizations, and Military Members, Veterans, and their families.

Estimated costs for implementing MHFA or YMHFA are as follows:

Item	Estimated Cost
Instructor Training	\$3,000 to \$4,000 per instructor
MHFA or YMHFA “First Aider” Training	\$50 to \$150 per person
MHFA or YMHFA Training Materials	\$20 per person
Cost for substitute teachers	\$100 per substitute teacher

Because some jurisdictions may have a significant number of students over the age of 18, applicants should select whichever course is developmentally appropriate for the specific populations of focus. Mental Health First Aid USA is managed, operated, and disseminated by the National Council for Behavioral Health, the Maryland Department of Health and Mental Hygiene, and the Missouri Department of Mental Health. Applicants may contact these three authorities to train and certify instructors.

Instructor certification is offered through a five-day (40-hour) course which introduces the interactive program, overviews adult learning styles and teaching strategies, and provides in-depth instruction on implementing and managing the program in diverse communities. In order to attain certification, instructor candidates must demonstrate mastery of the program through a written exam and an evaluated presentation. Once certified, Instructors are required to teach at least three 8-hour courses per year to maintain certification.

The recommended MHFA/YMHFA class size and instructor ration for the 8-hour MHFA/YMHFA “First Aider” course is 20 to 25 participants who are taught by two certified instructors.

For more information on MHFA, please refer to

<http://www.thenationalcouncil.org/about/mental-health-first-aid/>

For more information on YMHFA, please refer to

<http://www.mentalhealthfirstaid.org/cs/take-a-course/course-types/youth>

For more information and guidance on how to set up MHFA/YMHFA training program in your community, please refer to

<http://www.integration.samhsa.gov/mental-health-first-aid>